

State of Maine

Community Development Block Grant Program

2004 Community Enterprise Grant Program Application Package



Office of Community Development
111 Sewall Street
59 State House Station
Augusta, ME 04333-0059
Phone: (207) 624-7484 TTY: (207) 287-2656
www.meocd.org



- Micro-Grants/Loans
- Micro-Enterprise Grants/Loans
- Business Façade Grants
- Downtown Manager

Community Enterprise Grants



Table of Contents

Application Timetable and Requirements	Page 3
Step-by-Step Guide for Successful Application Submission	Page 4
Application Checklist	Page 5
Application Overview	Page 6
Application Instructions and Scoring Criteria	Page 8
Micro-Grant/Loan & Micro-Enterprise Grant/Loan Application	Page 8
Business Façade Grant Application	Page 9
Downtown Manager Grant Application	Page 10
Cover Sheet	Page 11
Activity Designation Sheet	Page 14

Application Timetable & Requirements



The timeframe for the Application Process is as follows:

Applications Due – **NO LATER THAN 4:00 P.M., FRIDAY, JANUARY 16, 2004.**
Late submissions will not be accepted and will be returned unopened
FAXED COPIES WILL NOT BE ACCEPTED.

Project Development Phase Invitations Announced – **FEBRUARY 17, 2004**

Applications must be received at the:

**OFFICE OF COMMUNITY DEVELOPMENT
DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT
59 STATE HOUSE STATION
111 SEWALL STREET
AUGUSTA, MAINE 04333-0059
FOR FURTHER INFORMATION: (207) 624-9819 TTY: (207) 287-2656**

SUBMISSION REQUIREMENTS

► For Micro-Grant/Loan, Micro-Enterprise Grant/Loan and Business Façade Grant Applications

ONE ORIGINAL containing the Required Responses, Signed Cover Sheet with Certifications, Activity Designation Sheet and Public Hearing Record.

SIX COPIES containing only the Required Responses and Public Hearing Record.

MARGIN AND TYPE SIZE for all Applications must contain margins consistent with those in this Application document and be typed using a minimum size 12 Arial font on 8 ½ x 11 inch paper.

MAXIMUM LENGTH OF REQUIRED RESPONSE SECTION OF APPLICATION

Applications are limited to **five pages** to provide the required responses, not counting required attachments.

► For Downtown Manager Applications

ONE ORIGINAL containing the documentation required on Page 10, Signed Cover Sheet with Certifications, Activity Designation Sheet and Public Hearing Record.

SIX COPIES containing the documentation required on Page 10 and Public Hearing Record.

**This Application Package is available electronically at:
www.meocd.org**

Community Enterprise Grant Program

A STEP-BY-STEP GUIDE FOR SUCCESSFUL APPLICATION SUBMISSION



1. **Read the entire Application Package carefully!** Be sure to follow instructions on Page 3 as to due date, number of copies submitted, font size, and paper size, margins and maximum length allowed for your required responses. For additional information on all CDBG programs consult the 2004 CDBG Program Statement available on the OCD web site.
2. Choose the proper Community Enterprise activity group listed on Page 14 that matches your proposed project.
3. Complete the Application Cover Sheet on Pages 11-13. The Cover Sheet contains places for signatures and lists all state and local regulations that applicants certify they will follow if awarded CDBG funds. Make sure all required signatures are obtained. At a minimum, each applicant will need the signature of their Chief Executive Officer (CEO). In addition, signatures are required from each CEO for multi-jurisdictional Applications.
4. Complete the Activity Designation Sheet on Page 14. This sheet will list project activities and identify if the project is multi-jurisdictional.
5. Complete the required response section that corresponds to the activity group you identified from Page 14 as matching your potential project. **SUBMIT ONLY THE RESPONSES FOR YOUR DESIGNATED ACTIVITY!**
6. Attach documentation of local public hearing to the original and all six copies of the Application. This must be in compliance with the requirements set forth on Page 6.
7. Package your Application submission and be sure to submit 1 original and 6 copies that meet the requirements contained on Page 2, **UNLESS YOU ARE SUBMITTING AN APPLICATION FOR DOWNTOWN MANAGER FUNDS. FOR THIS APPLICATION FOLLOW THE SPECIFIC REQUIREMENTS ON PAGE 2 AND PAGE 10. Do not include binders, report covers, or folders, as they will be discarded prior to scoring.**
8. Use the Application Checklist on Page 5 as a tool to make sure your Application will be complete and ready for OCD review.
9. **Remember! The Application due date is 4:00pm Friday, January 16, 2004.**

Contact us or download an electronic version of this Application at:

www.meocd.org
or call (207) 624-7484.

Community Enterprise Grants Application Checklist



Use this to make sure your application contains all required submissions!

A complete Application consists of:

- ☐ a signed cover sheet,
- ☐ an activity designation sheet,
- ☐ a public hearing record consisting of the published public hearing notice, attested hearing minutes and attendance list, and
- ☐ responses to all sections of the Application.

Incomplete packages will not be reviewed.

SECTION I. COMMUNITY ENTERPRISE GRANT APPLICATION OVERVIEW

A. Introduction

The Community Enterprise Grant Program (CE) provides grant funds to assist in innovative solutions to problems faced by small or micro-businesses and facilitate good management practices and business façade improvements in downtown and village areas. Assistance to businesses may be in the form of grants or loans at the discretion of the community. **The Downtown Manager Grants are available only to Maine Street Maine Communities that are designated by HUD and the U.S. Census as 51% or greater low/moderate income.**

B. Public Hearing Requirements

Each applicant is required to hold a duly authorized public hearing during the Application process with a minimum of 10 days prior notice. The hearing must be advertised in local newspapers and posted according to local requirements. **Applicants must attach a copy of the published hearing notice, attested copy of the minutes and attendance list to the original and all six copies of the Application.**

C. Applicant Prohibitions

Units of general local government and unorganized territories may not benefit from or apply for more than one CE per grant year. Multi-jurisdictional applications from two or more communities must designate a lead community. Counties may apply on behalf of unorganized territories. **Eligible units of general local government as defined above may apply for CDBG assistance on behalf of the five Maine Indian Tribes. Maine Indian Tribes are not themselves eligible applicants.**

D. Special Program Requirements

Applicants for Downtown Manager Grant funds must certify they will provide local cash match equivalent of 10 percent of the total grant award. Applicants for Micro-Grant/Loan funds must certify for Micro-Grants or Loans exceeding \$15,000 a dollar for dollar match directly related to the proposed assisted activity for the portion of the grant/loan exceeding \$15,000.

E. Application Process

The selection process for the Community Enterprise Grant Program consists of two phases - an Application phase and a Project Development Phase.

1. Competitive Application

The Micro-Grant/Loan, Micro-Enterprise Grant/Loan and Business Façade Grant applications ask communities to provide a description of their identified problem, solution and the citizen participation that determined that this need and solution should be addressed through this Application. Applicants for these three activity groups must complete the Application form and may only attach additional information if specifically requested. Please remember to answer briefly and as completely as possible within the allotted space. **The maximum length of an application is five pages. The application deadline is January 16, 2004.**

Review of Micro-Loan/Grant, Micro-Enterprise Grant/Loan and Business Façade Grant applications will begin following the January 16, 2004 deadline. Each application will be rated on its own merit and in relation to all other Community Enterprise applications in the respective categories and placed in rank order from highest to lowest according to the scores determined by the scoring team. **A minimum of 80 points** from the Problem Statement, Solution and Citizen Participation sections will be required for an application to be considered for funding. After the review is completed, successful communities will be invited into the Project Development Phase.

The Downtown Manager Grant Application asks communities to document that eligibility requirements for Community Enterprise Grant funds have been met. Each application will be rated on its own merit and in relation to all other Downtown Manager Grant applications and given a “pass” or “fail” score as determined by the scoring team. After the review is completed, successful communities will be invited into the Project Development Phase. Review criteria for the Downtown Manager Grant application process is described below.

At least one application will be funded from each activity group as long as there are qualified applications submitted in all categories

2. Project Development

An invitation into the project development phase will tentatively reserve funds for the project. Final funding is contingent upon the Office of Community Development’s (OCD) receipt of funds from HUD, successful completion of all development phase criteria and establishment of a final funding level by the OCD. All aspects of the development phase must be completed prior to the execution of a contract with OCD and include:

- 1) environmental review;
- 2) cost analysis and justification;
- 3) grant/loan guidelines for Activity Groups 1,2 and 3;
- 4) non CDBG project funds commitments;
- 5) management plan development; and
- 6) specific state and federal requirements.

The emphasis during the development phase is on establishing the best project to meet the community’s needs through a local/regional/state partnership. A Development Program Manager will be assigned to work with each community to assist in the development and finalization of their project. **Applicants have six months to complete the project development phase process or notice of award may be rescinded.** Planning grants may be available to assist communities with costs associated with completing the project development phase.

3. Project Implementation

Following contract execution, the community will be awarded Community Enterprise Grant Program funds and will begin to implement their project. The Development Program Manager will remain involved with the community throughout implementation to provide technical assistance and to monitor compliance with federal and state regulations.

SECTION II. COMMUNITY ENTERPRISE GRANT PROGRAM APPLICATION INSTRUCTIONS AND SCORING CRITERIA

A. Cover Sheet

For all Activity Categories please complete the cover sheet contained in Section III of this application package and attach it to the front of your original application. **The Municipal Chief Executive Officer, and/or County Commissioner on behalf of unorganized territories, must sign the Cover Sheet.** The Cover Sheet consists of three sections:

1. Application Identification

Community's name, address, Chief Executive Officer (CEO), County Commissioner on behalf of unorganized territories, Contact Person, phone number and e-mail address.

2. State Certifications

List of state certifications the applicant agrees to follow if awarded Micro Loan Program funds.

3. Federal Certifications

List of federal certifications the applicant agrees to follow if they are awarded Micro Loan Program funds.

In multi-jurisdictional applications, one unit of general local government must be identified as the lead applicant. Signature of the Chief Executive Officer of each participating unit of general local government, or County Commissioner on behalf of participating unorganized territories, signifies approval for the lead applicant to apply on their behalf.

B. Program Designation Sheet

The Program Designation Sheet lists eligible activity categories. The applicant is to indicate the category in which funding is proposed. **Applicants may not apply in more than one activity group.**

ACTIVITY GROUPS 1 AND 2

► Micro-Grant/Loan and Micro-Enterprise Grant Application ◄

A minimum of 80 points from the Problem Statement, Proposed Solution, and Citizen Participation sections will be required for an application to be considered for funding. The maximum length of an application, excluding the cover sheet and designation sheet is **five pages**. The application deadline is January 16, 2004. **Nonconforming applications will be returned unscored.**

C. Problem Statement - 35 Points

SCOPE OF PROBLEM

- Describe the economic base and business trend problems of the community or region.
- Identify the impact of the identified problem on job opportunities for LMI persons.
- Demonstrate the need for funds, including data on area capital availability and the inability of potential applicants to obtain grants/loans.
- Describe specific needs of micro-enterprises or small businesses in the area.

D. Proposed Solution - 45 Points

SCOPE OF SOLUTION (17.5 points):

- Describe how funds will be used to solve identified problems.
- Describe how the proposed program will assist Low and Moderate Income persons through job creation or retention or specific actions to assist micro-enterprises.

- Describe how the process will be coordinated with other financing sources and why CDBG funds are necessary to solve identified problems.

CAPACITY (17.5 points):

- Describe the experience and capacity, contractual relationships, organizational skills, etc., which demonstrate the ability of the applicant to market and conduct a Micro Grant/Loan or Micro-Enterprise Grant/Loan program.
- Describe past accomplishment in conducting similar programs.
- List the qualifications of persons directly responsible for program implementation.

POTENTIAL GRANT/LOAN APPLICANTS (10 points):

- Describe local efforts to identify potential grant/loan applicants, who those prospects are and the type of business and specific capital needs.

E. Citizen Participation - 20 Points

BUSINESS INVOLVEMENT (10 points):

- Describe how the business community participated in the development of the proposed program including how business owners brought the attention of the general community to the need for the program.
- Identify specific business groups involved in the process.
- Describe how the input of local business is reflected in the proposed program.

GENERAL CITIZEN INVOLVEMENT (10 points):

- Describe how the general community responded to the need for program development and how this need was prioritized.
- Detail involvement of citizens in meetings, hearings, etc. relative to this application process.
- Identify all local efforts to increase involvement in and awareness of the process, including the use of media (radio, TV, newspapers, etc.)

ACTIVITY GROUP 3

► Business Façade Grant Application ◄

A **minimum of 80 points** from the Problem Statement, Proposed Solution, and Citizen Participation sections will be required for an application to be considered for funding. The maximum length of an application, excluding the cover sheet and designation sheet is **five pages**. The application deadline is January 16, 2004. **Nonconforming applications will be returned unscored.**

F. Problem Statement - 35 Points

SCOPE OF PROBLEM

- Describe how the potential façade program is an integral part of an on-going downtown or village revitalization effort, including past actions to achieve prioritized development goals.
- Describe existing building conditions and how they detract from the economic well being of the downtown or village center and overall community appearance. Include what health and safety concerns are posed by current building conditions and whether the targeted area is part of a designated slum/blight area or buildings are to be considered spot blight.
- Document the need for CDBG funds and why assistance is unavailable elsewhere.

G. Proposed Solution - 45 Points

SCOPE OF SOLUTION (17.5 points):

- Describe how funds will be used to solve identified problems.
- Describe how the process will be coordinated with other financing sources and why CDBG funds are necessary to solve identified problems.
- Describe how slum and blight conditions will be resolved.

CAPACITY (17.5 points):

- Describe the experience and capacity, contractual relationships, organizational skills, etc., which demonstrate the ability of the applicant to market and conduct a Façade Grant program.
- Describe past accomplishment in conducting similar programs.
- List the qualifications of persons directly responsible for program implementation.

POTENTIAL FAÇADE GRANT APPLICANTS (10 points):

- Describe local efforts to identify potential façade grant applicants, who those prospects are, the type of business and specific needs, including health/safety and code issues.

H. Citizen Participation - 20 Points

BUSINESS INVOLVEMENT (10 points):

- Describe how the business community participated in the development of the proposed program including how business owners brought the attention of the general community to the need for the program.
- Identify specific business groups involved in the process.
- Describe how the input of local business is reflected in the proposed program.

GENERAL CITIZEN INVOLVEMENT (10 points):

- Describe how the general community responded to the need for program development and how this need was prioritized.
- Detail involvement of citizens in meetings, hearings, etc. relative to this application process.
- Identify all local efforts to increase involvement in and awareness of the process, including the use of media (radio, TV, newspapers, etc.)

ACTIVITY GROUP 4

► Downtown Manager Grant Application ◀

This program is available only to Main Street Maine Communities that are designated by HUD and the U.S. Census as 51% or greater low/moderate income.

REQUIRED SUBMISSIONS (In addition to public hearing record, Activity Designation Sheet and signed Cover Sheet)

- Documentation of community-wide 51% LMI designation
- Copy of official designation as a Main Street Maine Community
- Letter of Support from the Maine Development Foundation
- Documentation of a minimum 10% local cash match
- Maximum **two page** narrative explaining the use of the CDBG funds, how the Downtown Manager position is an essential component of the overall downtown revitalization strategy, and a proposed budget which includes all funds and demonstrates that CDBG funds will be expended within an eighteen month period and the community will be able to continue funding the Downtown Manager position for a minimum of three years as required by the Main Street Maine Community designation.

COMMUNITY ENTERPRISE GRANT APPLICATION COVER SHEET

A. Applicant Identification

Applicant _____
Street/P.O. Box _____
Town/City _____
Zip Code _____

B. The Applicant Certifies That:

1. State Certifications

- a. To the best of my knowledge and belief, the information in this Application is true and correct;
- b. the governing body of the applicant has duly endorsed the document;
- c. for micro-grant/loan applicants: Micro-Grants or Loans exceeding \$15,000 a dollar for dollar match directly related to the proposed assisted activity for the portion of the grant/loan exceeding \$15,000;
- d. for downtown manager grant applicants: a local cash match equivalent of 10 percent of the total grant award.
- e. the proposed project has been reviewed and it complies with the Community's comprehensive plan and/or applicable state and local land use requirements;
- f. it will work with the Office of Community Development to develop a detailed project if it receives a conditional award; and
- g. it will comply with all applicable State laws and regulations.

2. Federal Certifications

- a. it will take actions to affirmatively further fair housing and implement CDBG activities in compliance with Title VI of the Civil Rights Act of 1964 and Title VIII of the Civil Rights Act of 1968;
- b. it will not attempt to recover capital costs for the construction of public improvements, assisted in whole or in part with CDBG funds, by charging special assessments or fees against properties owned and occupied by persons of low and moderate income, including any fee, charge or assessment made as a condition of obtaining access to such public improvements, unless:
 - (i) CDBG funds are used to pay the proportion of such fee or assessment that relates to the capital costs of such public improvements that are financed from revenue sources other than CDBG funds; or
 - (ii) for purposes of assessing any amount against properties owned and occupied by persons of low and moderate income who are not persons of very low income, and the applicant certifies that it lacks sufficient CDBG funds to comply with the requirements of clause (i) above.

- c. prior to expenditure of CDBG funds, it will establish a local community development plan that identifies the Community's housing and community development needs, including the needs of low and moderate income, and the activities to be undertaken to meet them;
- d. it will provide in a timely manner for citizen participation, public hearings, and access to information with respect to the Maine Small Cities CDBG Program and the proposed local CDBG project/program. Indicate in public notices and at public hearings that the State program is competitive, the maximum grant amount that can be requested, and the general type of activities contained in the proposed local program. Also announce in public notices the availability of the local program plan/application, describe the Community's previous CDBG performance (if any), and how the Community will collect, consider and maintain all oral and written comments received on the proposal;
- e. it will adopt and follow a residential anti-displacement and relocation assistance plan which complies with Section 104 (d) of the Housing and Community Development Act of 1974, as amended, that at a minimum provides for the replacement of all low/moderate income dwelling units that are demolished or converted to a non-LMI housing use as a direct result of CDBG assistance, and a relocation assistance component;
- f. it will comply with the requirements of Section 319 of Public Law 101-121 regarding government-wide restrictions on lobbying; and
- g. with the exception of administrative or personnel costs, it will verify that no person who is an employee, agent, consultant, officer, or elected official or appointed official of state or local government or of any designated public agencies, or subrecipients which are receiving CDBG funding may obtain a financial interest or benefit, have an interest in or benefit from the activity, or have an interest in any contract, subcontract or agreement with respect to CDBG activities.

Signature of Single Applicant or Lead Applicant of a Multi-Jurisdictional Application

Signature and Title of Chief Executive Officer	Unit of General Local Government	Date

Signature of Each Participating Applicant in a Multi-Jurisdictional Application

Signature and Title of Chief Executive Officer	Unit of General Local Government	Date

Signature and Title of Chief Executive Officer	Unit of General Local Government	Date

Signature and Title of Chief Executive Officer	Unit of General Local Government	Date
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Signature and Title of Chief Executive Officer	Unit of General Local Government	Date
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COMMUNITY ENTERPRISE GRANT PROGRAM ACTIVITY DESIGNATION SHEET

APPLICANTS MAY NOT APPLY IN MORE THAN ONE ACTIVITY GROUP.

1. Activity Declaration

a. List the activities you will be doing in your proposed project: _____

b. Are all activities in the same group (see list below)? ____ Yes ____ No

COMMUNITY ENTERPRISE ELIGIBLE ACTIVITY GROUPS (With maximum grant amounts) (Check box next to applicable activity group.)

- ☐ **Activity Group 1 - \$100,000:** Micro-Grants/Loans
- ☐ **Activity Group 2 - \$50,000:** Micro-Enterprise Grants/Loans
- ☐ **Activity Group 3 - \$100,000:** Business Façade Grants
- ☐ **Activity Group 4 - \$50,000:** Downtown Manager Grant

2. Multi-Jurisdictional Declaration

a. Is this a multi-jurisdictional project? ____ Yes ____ No

b. If yes, which local government has been designated as the lead applicant?

c. If yes, list all participating or benefiting local governments. _____

NOTE: Remember all participating or benefiting local governments must sign the Cover Sheet Certification Form.

**THIS MATERIAL IS AVAILABLE IN ALTERNATIVE FORMAT
UPON REQUEST**

CONTACT

**ORMAN WHITCOMB, DIRECTOR
OFFICE OF COMMUNITY DEVELOPMENT
111 SEWALL STREET
59 STATE HOUSE STATION
AUGUSTA, MAINE, 04333-0059
TELEPHONE (207) 624-7484
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**EQUAL HOUSING
OPPORTUNITY**